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04-21-05

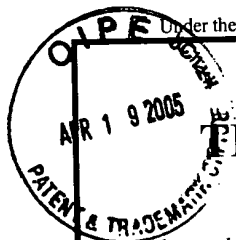
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Receipt  
PTO/SB/21 (6-99)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|   |          |                               |                              |
|---|----------|-------------------------------|------------------------------|
|   |          | <b>Application Number</b>     | 10/020,445 ✓                 |
|   |          | <b>Filing Date</b>            | October 24, 2001             |
|   |          | <b>First Named Inventor</b>   | Audrey Goddard <i>et al.</i> |
|   |          | <b>Group/Art Unit</b>         | 1646                         |
|   |          | <b>Examiner Name</b>          | Jegatheesan Seharaseyon      |
| <b>Total Number of Pages in This Submission</b> | 15 pages | <b>Attorney Docket Number</b> | 39780-2630 P1C74             |

## ENCLOSURES (check all that apply)

|  |   |  |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Version with Markings Showing Changes<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> <b>Request for Corrected Filing Receipt</b><br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Small Entity Statement<br><input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group ( <i>Appeal Notice, Brief, Reply Brief</i> )<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> <b>Additional Enclosure(s) (please identify below):</b><br><div style="border: 1px solid black; padding: 5px;"> <p><b>Copy of Amendment under 37 C.F.R. §1.48(b) and 37 C.F.R. §1.312 as filed; Copy of the Preliminary Amendment as filed; Copy of the Updated Filing Receipt received; and a Return Receipt Postcard</b></p> </div> |
| Remarks: <b>AUTHORIZATION TO CHARGE DEPOSIT ACCOUNT 08-1641 (ATTORNEY DOCKET NO. 39780-2630P1C74) FOR ANY FEES DUE IN CONNECTION WITH THIS PAPER.</b>  |   |  |

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

|                         |   |                  |             |
|-------------------------|---|------------------|-------------|
| Firm or Individual name | Anna L. Barry, Reg. No. 51,436, HELLER EHRMAN WHITE & McAULIFFE LLP |                  |             |
| Signature               |   |                  |             |
| Date                    | April 19, 2005  | Customer Number: | 35489/09157 |

## CERTIFICATE OF MAILING (37CFR 1.10)

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|                     |               |      |                |
|---------------------|---------------|------|----------------|
| Typed or print name | Sandra Puljic |      |                |
| Signature           |               | Date | April 19, 2005 |

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Issue Fee, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**



**IN THE UNITED STATES PATENT & TRADEMARK OFFICE**

Applicant: Audrey GODDARD, et al. Docket No.: 39780-2630P1C74  
Serial No.: 10/020,445 Group Art Unit: 1646  
Filing Date: October 24, 2001 Examiner: Jegatheesan Seharaseyon  
For: **NUCLEIC ACIDS ENCODING PRO615**

Mail Stop: AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CORRECTED FILING RECEIPT**

Sir:

Attached is a copy of the official filing receipt received from the USPTO in the above application for which issuance of a corrected filing receipt is respectfully requested. The domestic priority data and foreign applications for this application are incorrectly entered.

The correct priority data, as evidenced by the attached copy of the preliminary amendment filed on August 22, 2002, is:

--This application is a continuation of, and claims priority under 35 USC §120 to, US Application 09/918,585 filed 7/30/2001, which is a continuation of, and claims priority under 35 USC §120 to, PCT Application PCT/US00/04341 filed 2/18/2000, which claims priority under 35 USC §119 to US Provisional Application 60/131,445 filed 4/28/1999, where PCT/US00/04341 is a continuation-in-part of, and claims priority under 35 USC §120 to, US Application 09/380,138 filed 8/25/1999, now abandoned, which is the National Stage filed under 35 USC §371 of PCT Application PCT/US99/05028 filed 3/8/1999, which claims priority under 35 USC §119 to US Provisional Application 60/083,392 filed 4/29/1998.--

| CERTIFICATE OF EXPRESS MAILING   |                      |  |                |
|--|----------------------|--|----------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated below and addressed to: Mail Stop: AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA on the date indicated below. |                      |  |                |
|  |                      | Express Mail Label: <b>EV 582 628 990 US</b> |                |
| Typed or printed name  | Sandra Puljic        |  |                |
| Signature  | <i>Sandra Puljic</i> | Date   | April 19, 2005 |

Also enclosed is Applicants copy of the previously filed Amendment under 37 C.F.R. §1.48(b) which correctly names the inventors in this case. Applicants note that the inventors listed under Applicant(s) **should** read:

Audrey Goddard  
Paul J. Godowski  
Austin Gurney  
Margaret Roy  
William I. Wood

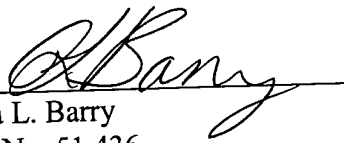
In support, Applicants enclose a copy of the previously filed Amendment under 37 C.F.R. §1.48(b).

Issuance of a Corrected Filing Receipt is respectfully requested.

The correction is not due to any error by applicant and no fee is due. However, in the event that a fee is due, the Commissioner is hereby authorized to charge any such fees to Deposit Account No. **08-1641 (Attv. Docket No. 39780-2630P1C74)**.

Respectfully submitted,

Dated: April 19, 2005

  
Anna L. Barry  
Reg. No. 51,436

**HELLER EHRMAN WHITE & McAULIFFE LLP**  
**Customer No. 09157/35489**  
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GNE.2630P1C74  
GRD/BGT



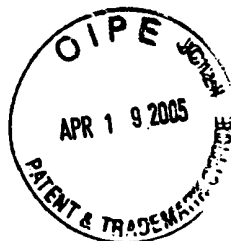
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 10/020,445         | 10/24/2001  | 1646         | 740           | GNE.2630P1C74   | 237      | 20         | 3          |

30313

KNOBBE, MARTENS, OLSON & BEAR, LLP  
620 NEWPORT CENTER DRIVE  
SIXTEENTH FLOOR  
NEWPORT BEACH, CA 92660



CONFIRMATION NO. 9983

UPDATED FILING RECEIPT



\*OC000000008410281\*

Date Mailed: 07/09/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

~~Avi J. Ashkenazi, San Mateo, CA;~~  
~~Kevin P. Baker, Darnestown, MD;~~  
~~David Botstein, Belmont, CA;~~  
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Margaret Ann Roy, San Francisco, CA;  
~~David L. Shelton, Oakland, CA;~~  
~~Timothy A. Stewart, San Francisco, CA;~~  
~~Daniel Tumas, Orinda, CA;~~  
~~P. Mickey Williams, Half Moon Bay, CA;~~  
William I. Wood, Hillsborough, CA;

**Assignment For Published Patent Application**

Genentech, Inc.;

**Domestic Priority data as claimed by applicant**

THIS APPLICATION IS A CON OF 09/918,585 07/30/2001  
WHICH IS A CON OF 09/040,220 03/17/1998 PAT 6,391,311  
AND IS A CON OF 09/105,413 06/26/1998 ABN  
AND IS A CON OF 09/168,978 10/07/1998  
AND IS A CON OF 09/184,216 11/02/1998 ABN  
AND IS A CON OF 09/187,368 11/06/1998  
AND IS A CON OF 09/202,054 12/07/1998  
AND IS A CON OF 09/218,517 12/22/1998 ABN  
AND IS A CON OF 09/254,465 03/05/1999 PAT 6,410,708  
AND IS A CON OF 09/265,686 03/10/1999  
AND IS A CON OF 09/267,213 03/12/1999 ABN  
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AND IS A CON OF 09/380,137  
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AND IS A CON OF 09/380,142 08/25/1999 ABN  
AND IS A CON OF 09/709,238 11/08/2000  
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AND IS A CON OF 09/747,259 12/20/2000  
AND IS A CON OF 09/816,744 03/22/2001  
AND IS A CON OF 09/816,920 03/22/2001  
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AND IS A CON OF 09/854,208 05/10/2001  
AND IS A CON OF 09/872,035 06/01/2001  
AND IS A CON OF 09/874,503 06/05/2001  
AND IS A CON OF 09/882,636 06/14/2001  
AND IS A CON OF 09/886,342 06/19/2001  
AND CLAIMS BENEFIT OF 60/062,250 10/17/1997  
AND CLAIMS BENEFIT OF 60/064,249 11/03/1997  
AND CLAIMS BENEFIT OF 60/065,311 11/13/1997  
AND CLAIMS BENEFIT OF 60/066,364 11/21/1997  
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CLAIMS BENEFIT OF 60/080,105 03/31/1998  
AND CLAIMS BENEFIT OF 60/080,107 03/31/1998  
AND CLAIMS BENEFIT OF 60/080,165 03/31/1998  
AND CLAIMS BENEFIT OF 60/080,194 03/31/1998

SEE PRELIMINARY  
AMENDMENT FILED  
8/22/02; ENCLOSED

AND CLAIMS BENEFIT OF 60/080,327 04/01/1998  
AND CLAIMS BENEFIT OF 60/080,328 04/01/1998  
AND CLAIMS BENEFIT OF 60/080,333 04/01/1998  
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AND SAID  
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AND CLAIMS BENEFIT OF 60/100,038 09/11/1998  
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AND CLAIMS BENEFIT OF 60/145,698 07/26/1999  
AND CLAIMS BENEFIT OF 60/146,222 07/28/1999  
AND CLAIMS BENEFIT OF 60/162,506 10/29/1999

#### Foreign Applications

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~~PCT/US01/21086 06/29/2001~~  
~~PCT/US01/21735 07/09/2001~~

**If Required, Foreign Filing License Granted 02/01/2002**

**Projected Publication Date: 10/17/2002**

**Non-Publication Request: No**

**Early Publication Request: No**

**Title**

Secreted and transmembrane polypeptides and nucleic acids encoding the same

**Preliminary Class**

435

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Avi J. ASHKENAZI, et al.

Application Serial No.: 10/020,445

Filed: October 24, 2001

For: **SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME**

) Examiner: Seharaseyon, Jegatheesan

) Art Unit: 1647

) Confirmation No.: 9983

) Attorney's Docket No.: 39780-2630 P1C74

) Customer No. 35489

EXPRESS MAIL LABEL NO. EL 977 678 291 US  
DATE MAILED: SEPTEMBER 20, 2004

AMENDMENT UNDER 37 C.F.R. §1.48(b)

**MAIL STOP AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

In the above identified application, an Office Action was mailed on April 20, 2004. Having reviewed the application, Applicants have found that as a result of claim amendments made during prosecution, fewer than all of the currently named inventors are the actual inventors of the invention being claimed in the present application. Accordingly, please delete the names of the following inventors, who have not made an inventive contribution to the currently claimed subject matter:

|                   |                         |
|-------------------|-------------------------|
| Avi J. Ashkenazi  | Kevin P. Baker          |
| David Botstein    | Luc Desnoyers           |
| Dan L. Eaton      | Napoleone Ferrara       |
| Ellen Filvaroff   | Sherman Fong            |
| Wei-Qiang Gao     | Hanspeter Gerber        |
| Mary E. Gerritsen | J. Christopher Grimaldi |
| Kenneth J. Hillan | Ivar J. Kljavin         |
| Sophia S. Kuo     | Mary A. Napier          |
| James Pan         | Nicholas F. Paoni       |


|                  |                    |
|------------------|--------------------|
| David L. Shelton | Timothy A. Stewart |
| Daniel Tumas     | P. Mickey Williams |

Upon entering the present amendment, Audrey Goddard, Paul J. Godowski, Austin Gurney, Margaret Roy and William I. Wood remain named inventors in this case.

Although no fees are believed to be due at this time, please charge any fees that might become applicable, including any fees for extension of time, or credit overpayment to Deposit Account No. 08-1641, referencing Attorney's Docket No. 39780-2630 P1C74. Please direct any calls in connection with this application to the undersigned at the number provided below.

Respectfully submitted,

Date: September 20, 2004

By:   
Anna L. Barry (Reg. No. 51,436)

**HELLER EHRMAN WHITE & McAULIFFE LLP**  
275 Middlefield Road  
Menlo Park, California 94025  
Telephone: (650) 324-7000  
Facsimile: (650) 324-0638

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9/20/04 4:56 PM (39780.2630)



Patent Docket P2630P1C74

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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| In re Application of:<br><br>Avi Ashkenazi et al<br><br>Serial No.: 10/020445<br><br>Filed: 10/24/2001 | Group Art Unit: Not yet assigned<br><br>Examiner: Not yet assigned<br><br><b>CERTIFICATE OF MAILING</b><br>I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage, as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on<br><br>August 22, 2002<br><br><i>Patricia Terrill</i><br>Patricia Terrill |
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**PRELIMINARY AMENDMENT**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

Prior to substantive examination of the above captioned patent application, Applicants respectfully request that the following amendments be entered.

**In the specification:**

Please delete the paragraph at page 1, line 2, that was previously added by preliminary amendment.

Please insert the following new paragraph at page 1, line 2:

**--RELATED APPLICATIONS**

This application is a continuation of, and claims priority under 35 USC §120 to, US Application 09/918585 filed 7/30/2001, which is a continuation of, and claims priority under 35 USC §120 to, PCT Application PCT/US00/04341 filed 2/18/2000, which claims priority under 35 USC §119 to US

**Patent Docket: P2630P1C74**

**Serial No.: 10/020445**

**Filed: 10/24/2001**

Provisional Application 60/131445 filed 4/28/1999, where PCT/US00/04341 is a continuation-in-part of, and claims priority under 35 USC §120 to, US Application 09/380138 filed 8/25/1999, now abandoned, which is the National Stage filed under 35 USC §371 of PCT Application PCT/US99/05028 filed 3/8/1999, which claims priority under 35 USC §119 to US Provisional Application 60/083392 filed 4/29/1998.--

**Patent Docket:** P2630P1C74  
**Serial No.:** 10/020445  
**Filed:** 10/24/2001

**REMARKS**

The original paragraph at page 1, line 2 has been deleted. A new paragraph beginning at page 1, line 2 has been added in the specification. The new paragraph lists the documents to which priority is claimed for the instant application. Applicants respectfully request entry of this paragraph for prosecution in this application. The Examiner is invited to contact the undersigned at (650) 225-4563 if any issues may be resolved in that manner.

Respectfully submitted,

GENENTECH, INC.

Date: August 22, 2002

By:



Elizabeth M. Barnes, Ph. D.

Reg. No. 35,059

Telephone: (650) 225-4563



**09157**

PATENT TRADEMARK OFFICE

**Patent Docket:** P2630P1C74  
**Serial No.:** 10/020445  
**Filed:** 10/24/2001

**VERSION WITH MARKINGS TO SHOW CHANGES MADE**

**In the specification:**

The paragraph at page 1, line 2 that had been added by a previous preliminary amendment has been deleted. A new paragraph beginning at page 1, line 2 has been added to replace the deleted paragraph.

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**In Re Application of:** Avi Ashkenazi et al

Serial No: 10/020,445

Docket No: P2630P1C74

Filed on: October 24, 2001

By: Elizabeth M. Barnes

Mailed on: August 22, 2002

Reg. No.: 35,059

The following has been received by the U.S. Patent Office on the date stamped.

- ☒ Preliminary Amendment
- ☒ Post card